

From: [Records](#)
To: [Rutsala, Katherine](#)
Subject: Fw: ECMS and Transferring Employees
Date: Tuesday, April 04, 2017 9:56:07 AM

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐

☐ (EPA only)

From: Records
Sent: Tuesday, March 8, 2016 2:32 PM
To: NRMP All RLOs
Cc: Ellis, John; Boulware, Tammy; Moore, Gina; Stirneman, Scott; Neupane, Ambuj; NRMP Contractor Staff
Subject: ECMS and Transferring Employees
To All RLOs

RLOs and designated staff are responsible for keeping organizations and people up-to-date in ECMS by using the ECMS Administration Tools. The People Admin Tool allows those designated and trained as "Organization Admins" to move people who have been transferred from one office to another within their AAship or Region.

The tool does not allow the Organization Admin to manage access for people who have transferred, or are going on and returning from, a detail outside their AAship or Region. To ensure that records are captured into the correct organization structure within ECMS, the RLO or their designee needs to:

- Notify the ECMS team (ECMS@epa.gov) and the RLO for the departing employee's new organization that you have a completed EPA Form 3110-49, EPA Records Management Checklist for Separating/Transferring or Separated Personnel (Checklist) (The Checklist must be completed prior to the request); and
- Identify the current organization and the new organization, down to the lowest level (e.g. OEI-OIC-CSTD-RCMB)

Please note: You do not need to send a copy of the completed Checklist, and you do not need to notify the ECMS team for transfers prior to January 2015.

Once these steps are completed, the ECMS team will move membership to the new AAship or Region.

Additional information:

[ECMS Administration Tool](#)

[EPA Form 3110-49, EPA Records Management Checklist for Separating/Transferring or Separated Personnel](#)

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐

 (EPA only)

From: [Records](#)
To: [Rutsala, Katherine](#)
Subject: Fw: Headquarters RLO Participation in Orientations for Senior Officials and Political Appointees
Date: Tuesday, April 04, 2017 9:55:25 AM
Attachments: [SA-briefing template 20160413.pptx](#)
Importance: High

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐

 (EPA only)

From: Records

Sent: Thursday, April 14, 2016 10:34 AM

Subject: Headquarters RLO Participation in Orientations for Senior Officials and Political Appointees
RLOs –

The National Records Management Program is responsible for ensuring that all EPA senior agency officials (SAOs) and political appointees are aware of their programmatic and individual records management responsibilities and requirements.

In the past orientation on SAO and political appointee's records management responsibilities has been done primarily by NRMP staff. In order to help RLOs bring attention to their role as the primary records management point of contact in the AA-ship, RLOs at Headquarters are being asked to routinely participate, along with a representative from NRMP, in the SAO and political appointees orientation sessions for Office Directors and above. Orientation for those below the level of Office Director will be done solely by the RLO, however NRMP can join if requested.

SAO and political appointee orientations take place on Monday mornings and are usually scheduled to begin around 9:15. An announcement of the upcoming orientation date and time will be sent to the RLO the week prior to the orientation.

A PowerPoint (PPT) presentation used for all orientations is attached. Prior to the orientation the RLO should update the PPT by:

- adding the date of the orientation and inserting the name and title of the SAO/political appointee on the first and last pages; and
- inserting their name and contact information on page 24.

After presenting the orientation the SAO is asked to sign and date the last page of the printed PPT. NRMP retains the signed page.

Please contact NRMP at records@epa.gov if you have any questions.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐


☐ (EPA only)

From: [Records](#)
To: [Rutsala, Katherine](#)
Subject: Fw: Quarterly Records Management Day is December 14, 2016
Date: Tuesday, April 04, 2017 9:53:12 AM
Attachments: [Information for RLOs QRMD 20161206.docx](#)

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 

 (EPA only)

From: Records

Sent: Friday, December 9, 2016 10:01 AM

Subject: Quarterly Records Management Day is December 14, 2016

Dear RLOs and Records Contacts,

Quarterly Records Management Day (QRMD) is December 14, 2016. The topics for this QRMD are reminding staff to manage their records, use of EPA Form 3110-49 - [EPA Records Management Checklist for Separating/Transferring or Separated Personnel](#) when separating from or transferring within the agency, and awareness of responsibilities related to the unauthorized destruction of federal records.

Please see the attached "crib sheet" which provides some background on the topics and can be used to provide information for your program or regional staff. You may want to use the day to reach out to staff by creating an email announcement specifically tailored for your group, holding a training session on the use of EPA Form 3110-49, focusing on managing records and updating file plans or in any way that will address the records management needs of your program or region related to these topics.

To learn more check out the [Quarterly Records Management Day webpage](#). For information on EPA's National Records Management Program, visit the [National Records Management Program](#) webpage.

Please contact the NRMP Help Desk if you have any questions.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

records@epa.gov

Help Desk: 202-566-1494



From: [Records](#)
To: [Rutsala, Katherine](#)
Subject: Fw: Records Management Open House for EPA Political Appointees - October 6
Date: Tuesday, April 04, 2017 9:54:32 AM

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐
[REDACTED] (EPA only)

From: Records
Sent: Thursday, September 22, 2016 12:46 PM
Subject: Records Management Open House for EPA Political Appointees - October 6
RLOs -

The following message has been sent out to all Senior Officials at Headquarters. You will note that they are being asked to bring their RLO with them to the event. NRMP suggests you contact your Senior Officials prior to the date to determine the best time for you all to attend.

NOTE: Your EPA badge will be required to access WJC North, 3rd Floor Green Room.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐
[REDACTED] (EPA only)

Proper attention to records management is a mandatory requirement for properly checking out and departing the agency. In conjunction with other EPA offices, the Office of the White House Liaison will provide opportunities to answer all of your records management questions. The information disseminated at the Open House will get you on the right road.

What: Records Management Open House for EPA Political Appointees

When: Thursday October 6, 2016

Where: The Green Room - WJC North, 3rd Floor

When: Anytime between 9:00am – 3:00pm


- Choose any hour between 9 am and 3pm on October 6th for you to attend the Records Management Open House for Political Appointees located in the Green Room.
- The Office of the Administrator, the Office of General Counsel, and the Office of Environmental Information will staff booths to provide you with critical information you need as part of your off-boarding process.
- Determine the status of your litigation holds, check on the status of your records; understand your records management check out responsibilities. Learn this and more.
- Plus 1 – ensure your office's records liaison officer joins you.

From: [Records](#)
To: [Rutsala, Katherine](#)
Subject: Fw: Transition Information - Departing Employees
Date: Tuesday, April 04, 2017 9:52:32 AM
Importance: High

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 

 (EPA only)


From: Records
Sent: Thursday, January 12, 2017 3:25 PM
Subject: Transition Information - Departing Employees
RLOs -

Please go to this link to review the Outgoing Employees Transition Book prepared for departing senior officials which was discussed at today's RLO meeting:



All departing senior officials have been given a copy, but it may be helpful for you to review it when assisting them.

A few additional suggestions:

- calendars - must be saved for senior officials, however, there have been technical problems when trying to save a full year at a time. A suggestion was made to save each month separately and follow these instructions: 

- remember that many senior officials may have emails in the Lotus Notes email system. Those emails should be reviewed and managed according to guidance given with EPA Form 3110-49:



 and 

- mobile devices containing EPA records must follow this guidance:



and 

Please contact the NRMP Help Desk if you have questions.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 ☐

☐ (EPA only)

Background Documentation and Links for RLOs and Records Contacts
Quarterly Records Management Day
December 14, 2016

Managing Your Records

What is a record?

Records typically include information which is:

- Created in the course of doing Agency business;
- Received for action;
- Needed to document EPA activities and decisions;
- Required to support EPA's financial and other obligations and legal claims; or
- Communicated to assert EPA requirements or guidance.

All EPA staff generate and receive records and are legally required to maintain them. Records document the Agency's business and can be found in all media such as paper, email, instant messaging (IM), text messages, telephone messages, voice mail messages, presentations, websites, social media (e.g., Facebook, Twitter, etc.), word processing documents, spreadsheets, and information systems.

<https://www.epa.gov/sites/production/files/2015-03/documents/cio-2155.3.pdf>

Records Management Policy

How to Identify Records

If you answer "yes" to any of these questions, you have a record:

- Was it created in the course of business? e.g., correspondence, agreements, studies
- Was it received for action? e.g., FOIA requests, controlled correspondence
- Does it document EPA activities and actions? e.g., calendars, meeting minutes, project reports
- Is it mandated by statute or regulation? e.g., administrative records, dockets
- Does it support financial obligations or legal claims? e.g., grants, contracts, litigation case files
- Does it communicate EPA requirements? e.g., guidance documents, policies, procedures

Awareness of Unauthorized Destruction of Federal Records

What is unauthorized destruction?

An unauthorized destruction occurs when records are destroyed or deleted in any of the following cases:

1. Without an approved disposition;
2. When the record has been approved for permanent retention;
3. Prior to the end of the approved retention period (unless order by a court);
4. When the record is subject to another requirement (e.g. FOIA, litigation) to retain the record.

How do I avoid unauthorized destruction?

Agencies are responsible for preventing the unauthorized disposition of Federal records, including their unlawful or accidental destruction, deletion, alteration, or removal from Federal custody. Agencies should carefully monitor the implementation of approved records schedules to prevent such unauthorized destruction. RLOs are responsible for reviewing their program or regions file plan regularly to update it with the most current records schedules and for distributing it and providing guidance on its use to all staff.

What should I do if records are accidentally destroyed before their retention period ends?

If records are accidentally destroyed, the Records Liaison Officer must provide a report to the Agency Records Officer (ARO) that includes:

- a complete description of the records;
- the volume of the records destroyed;
- the office of origin;
- an explanation of the circumstances involving the unauthorized destruction;
- a description of actions taken to salvage, retrieve or reconstruct the records; and
- a statement of safeguards taken to prevent future losses.

See: (44 U.S.C. Chapter 31)



§ 3106. Unlawful removal, destruction of records

(a) FEDERAL AGENCY NOTIFICATION.—The head of each Federal agency shall notify the Archivist of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records in the custody of the agency, and with the assistance of the Archivist shall initiate action through the Attorney General for the recovery of records the head of the Federal agency knows or has reason to believe have been unlawfully removed from that agency, or from another Federal agency whose records have been transferred to the legal custody of that Federal agency.

(b) ARCHIVIST NOTIFICATION.—In any case in which the head of the Federal agency does not initiate an action for such recovery or other redress within a reasonable period of time after being notified of any such unlawful action described in subsection (a), or is participating in, or believed to be participating in any such unlawful action, the Archivist shall request the Attorney General to initiate such an action, and shall notify the Congress when such a request has been made.

<http://www.archives.gov/about/laws/fed-agencies.html#unlawful>

Using Mandatory EPA Form 3110-49 – EPA Records Management Checklist for Separating/Transferring or Separated Personnel

Because the Agency is entering a time of transition, the second topic for this Records Management Day is the use of mandatory EPA Form 3110-49, "EPA Records Management Checklist for Separating/Transferring or Separated Personnel."

To maintain control of EPA records before an employee separates from the Agency (or transfers to another organization within the Agency), all personnel are responsible for ensuring that any records for which they are responsible have been properly identified and saved into an Agency recordkeeping system or have been properly turned over to a supervisor or successor. The checklist provides guidance on where to look and how to identify your records. Even if you're not separating from the Agency or transferring, it is good practice to become familiar with EPA Form 3110-49, which will remind you of the records you might have created or received and where they may be located.

Encourage your staff to set aside time on this QRMD to review their records management responsibilities related to these topics.

Please continue to promote active records management throughout your organization. By regularly taking time to focus on our records responsibilities, we will create a culture where every day is Records Management Day.

Click here for more information about managing your records:



If you have any questions, contact John B. Ellis, EPA Records Officer at ellis.john@epa.gov or (202) 566-1643 or the Records Help Desk at (202) 566-1494 or email records@epa.gov.